DOCUMENT RESUME

ED 169 879 IR 006 509

TITLE Serials Manual, L. S. U. Library.
INSTITUTION Louisiana State Univ., Baton Rouge. Library.
PUB DATE 77
NOTE 108p.; Appendices not available due to legibility

EDRS PRICE MF01/PC05 Plus Postage.
DESCRIPTORS Charts; Glossaries; Letters (Alphabet); Library Acquisition; Library Expenditures; Library Material Selection; *Policy; *Recordkeeping; Records (Forms); *Serials; *University Libraries

ABSTRACT

Prepared by staff members of the Louisiana State University (LSU) Library, this comprehensive serials manual covers virtually all the policies and procedures--except cataloging rules--that are necessary to decide to acquire a certain serial title and to follow that title through to the bound state. A glossary of terms used in the document precedes the major topics presented, which include budget, serials selection responsibility, selection procedure, subscription placement, renewals, serials orders other than subscriptions, subscription cancellations, serials record, receipt and checking-in procedures, and binding procedures. (JD)

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SERIALS MANUAL

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SERIALS MANUAL

L.S.U. LIBRARY

SERIALS MANUAL COMMITTEE

1977

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FOREWORD

One of the most rewarding and worthwhile efforts ever undertaken by staff members of the Louisiana State University Library has been the creation of this Serials Manual. It was born out of a desire on the part of several staff members that all personnel concerned with serial publications get together and discuss serial problems, both inter- as well as intradepartmental.

In September 1974 the first get-to-gether was convened and out of that was born the idea of "Serials Dialogues" to be held on a regular basis and for as long a period of time as necessary to discuss policies, procedures, and problems regarding serial publications and their organization. In September 1975 the last dialogue, the forty-fourth, was convened. During that year many beneficial hours were spent setting and defining policy, establishing and placing authority, establishing and refining procedures, and making formal suggestions to the Director of Library on the improvement of policies and services affecting serials work directly and indirectly.

One of the objectives set by the Serials Dialogues participants was the writing of a comprehensive serials manual. Therefore, a Serials Manual Committee was appointed by the Director of Library, and the dialogues were recorded for the use of this committee. This manual is the result of that objective. Kudos unlimited to the Serials Manual Committee: Eulava Dupree, Serials Department; Mildred Hoskins, Preparations Department; Anne Hurst, Humanities Division; Paul Wank, Science Division; Bonnie Jackson, Social Science Division and Chairperson.

The scope of this manual is as comprehensive as are the policies and procedures necessary to decide to acquire a certain serial title and to follow that title through to the bound state. It does not include, however,

the cataloging of serials since the code for serial cataloging used in this Library is Chapter 7 of the "Anglo-American Cataloging Rules."

It is hoped that this manual shall be used as a training tool for all personnel involved with the treatment of serial publications, and as a reference tool by all for the answering of the myriad questions inevitably associated with such complex materials requiring such comprehensive treatment.

It was a distinct pleasure to serve as Moderator of the Serials Dialogues and a high honor to be asked to write this foreword.

Mary W. Colmer
Moderator, Serials Dialogues

GLOSSARY

AC

Added copy.

ACDE

Added copy, different edition.

AV

Added volume; Audiovisual; See Audiovisual materials.

Abstracting services

Companies or organizations that provide discipline abstracts of materials from a number of sources.

Academic disciplines

Inter-related subjects in various curricula.

Alphabetic claiming

Examination of each current record in alphabetical order to determine issues which need claiming.

Analytics

Entries in the public catalog for the component parts of a series under author, title, and/or subject.

Audiovisual materials

Materials other than the printed page. Often referred to as AV or AV Materials.

Authority file

A file in the Serials Department containing a history of each title which is being or has been received on subscription through gift, exchange, or purchase.

Automatic Claiming

Claiming done automatically when skipped issues are noticed while checking in an issue of a title.

Backfile

The term applied to the numbers of a serial preceeding the current issue. In the LSU Library this term refers to the numbers or volumes which were published prior to the issue with which the LSU subscription commences; or, the issues of a serial which are not in the library collection.

Bibliographic unit

Issues needed to complete a volume, year, number, etc. of a serial. Not to be confused with the physically bound unit.

Binding notification

The form by which all persons concerned with serials are made aware that specific unbound issues of a title are ready for binding.

Blue routing slip

A mimeographed form used by the Serials Department to accompany binding notifications for titles that need revisions. (See appendix 6)

Blue work slip

The blue section of the subscription form which is used by Serials Catalogers as the official authority to catalog a title. (See appendix 2)

Bound holdings

Holdings of a serial in a permanent form of binding. (See appendix 6)

Cancellation

The act of cancelling a subscription to a serial.

Ceased title

A serial that has ceased publication.

"Cl"

"Cl" means claimed. The notation used in the Serials Record indicating that an issue has been claimed.

"Cl utd"

"Cl utd" means claimed up-to-date. The notation used in the Serials Record for claiming a number of issues of a title for which nothing has been received for some time.

Claims file

An alphabetic arrangement in the Serials Department of current titles for which issues never received are being claimed from the source.

Collection development

The development of the library's holdings along planned disciplines.

Collection Development Officers

Those individuals who are responsible for collection development and who monitor the various book budgets.

Cross reference

A directional card, in the public catalog, Serials Record, or other file, from one heading to another.

Current subscription

A serial title currently being received by gift, by exchange, or by purchase.

Direct subscription

A subscription of a serial being received from the publisher.

Display titles

Serials whose current issues are on the display shelves in the divisions.

Division

A designated unit of the LSU Library.

"Do not claim"

A restriction placed on certain current subscriptions.

Duplicate issues

Two or more issues of a title with the same destination.

Duplicate subscriptions

Two or more subscriptions to the same title, with or without the same destination.

Entry change

The change in the form of the main entry of a serial, i.e., the title of a serial or the issuing body responsible for the serial.

Exchange subscription

A serial received by sending another serial in exchange.

Flags

In the Serials Department, metal or plastic tabs used for certain designations such as a blue metal tab in the Serials Record to indicate display titles. In the Divisions, flags are various colored paper strips used to indicate binding priority. (See appendix 10) See also Priority flags.

Flimsy

The shortened thin sheet that over-rides a holdings card in the Serials Record. It is meant to be a temporary record to show holdings or to give instructions for checking in holdings.

Frequency

Intervals at which a serial is published, i.e. weekly, monthly, irregular, etc.

Frequency claiming

The examination of each current title issued at a particular frequency such as weekly, quarterly, etc., and claiming the issues needed.

Frequency signal

A colored plastic tab used in the Serials Record to designate frequency of publication. (See appendix 10)

G & E See Gifts and Exchanges Department

Gift subscription

A current serial title being received as a gift.

Gifts and Exchanges Department

The department through which the library accepts and sends gift materials and which establishes exchange policies with other libraries.

Hill

The Hill Memorial Library is an annex of the LSU Library, in which "little used" materials are housed and serviced.

Holdings

A statement, in the form of a checking-in record, of the issues of a serial owned by the LSU Library.

Holdings card

The heavy paper folded card in the Serials Record on which holdings of a serial are recorded. (See Appendix 4)

Inclusive numbers

The first through the last number in consecutive order of the holdings of a serial title.

Indexing services

The companies or organizations that publish discipline indexes to a number of serials.

Interlibrary Loan form

A special form used for interlibrary borrowing. (See Appendix 8)

LCD

A file of the Library of Congress depository of cards for newly cataloged titles, currently housed in and maintained by the Order Department of the LSU Library.

LS#

LS# means library serials number. It is a number assigned by our library to purchase subscriptions, the first two digits being taken from the last two digits of the year the subscriptions was entered; the ensuing digits being assigned in numerical sequence.

Last volume reference

A notation on the Serials Record to indicate a title for which its last issue in a special issue is placed on reference.

Linadex

A rotating file located in each Division of the Library listing the call numbers and titles of serials cataloged for that area.

Memberships

Organizations to which the LSU Library belongs as a member.

Microform

A photographic format either original or reproduced from printed material; there are three principal types used in libraries: microfiche, microcard, and microfilm.

Multiple order form

An order form consisting of several copies made in duplicate, each copy serving a different purpose. (See Appendix 3)

NST file See New serials title file

NST slip

A p-slip or a copy of the multiple order form giving the title and subscription information for a new serial subscription. (See Appendix 3)

New serial title

A serial title new to the LSU Library. Also, a publication of the Library of Congress giving bibliographic information on serial titles newly cataloged.

New serials title file

An alphabetic list of new purchased subscriptions filed in the Serials Department

New title

A new subscription.

Noncurrent

A title in the Serials Record which is not being received on subscription.

OP See Out of print.

Official entry

The main entry for a serial as cataloged; it may be a title or corporate body.

Order file

The Order Department file of alphabetical titles on order.

Order form See Multiple order form.

Out of print

No longer in print and not obtainable through the regular market since the publisher's stock is exhausted.

Outstanding file

An alphabetic file of y-slips for serials titles which are on order as replacements or as titles not on subscription.

P-slip

A white 3" x 5" slip of paper.

Pamphlet binding

An in-house binding for only one issue using heavy cardboard covers.

Permabinding

A commercial type binding used for paperbacks (single issues).

Pieces

A term used to designate individual issues of a serial.

Posting

Recording the bound volumes on the Serials Record from the binding notifications returned from the Preparations Department.

Prebound subscription

A serial in which the individual issues arrive already bound into a volume.

Priority claiming

Claiming titles as requested by Divisions.

Priority flags

The colored paper slips used by a division to indicate to the Preparations Department the priority for binding: 1st priority -- green flag; 2nd priority -- yellow flag; 3rd priority -- no flag.

Priority rating

The order of importance of backfile requests. "1" - top priority; "2" - second priority; "3" - low priority.

Public catalog

A catalog, on cards, which lists all titles cataloged for the LSU Library. It is a dictionary catalog, containing name, title, and subject entries.

Rebind notification

The same as a binding notification except "rebind" is written across the face of the notification slip. A rebind notification is used to replace an issue in a bound volume, to rebind a worn volume, and to replace more than seven tip-in pages. (See appendix 11)

Received file

An alphabetic file in the Serials Department of y-slips for titles received.

Regular binding

Commercial binding according to contract specifications.

Renewals

Titles for which the subscriptions are automatically continued.

Replacement

A replacement is ordered for lost issues and for pages missing from a serial.

Retention format

The permanent format in which a serial is to be retained in the LSU Library.

Return shelves

Shelves in the Preparations Department labelled with the names of the Divisions. On these shelves, Preparations personnel place materials that cannot be processed. These materials are then returned to the Divisions for further attention before binding.

Rush binding

Serial titles for which expedited binding is specified.

SHAW ca#

SHAW ca# means Shelf awaiting call number. This is a designation used by the Serials Department and in the Serials Record for issues arriving after issues of a new title have been sent to the Serials Catalogers and before the title has been cataloged.

Sample copy

An issue of a serial not in the Serials Record which can be obtained by purchased subscription only. These sample issues may be solicited or unsolicited.

Sample file

A collection of sample copies retained by the Collection Development Officers for future reference in serials acquisition.

Scholarly binding

An inexpensive cloth commercial binding with a glued spine, seldom used for serials.

Se-lin label

The label bearing the call number of a serial. It is usually placed on the lower spine or lower left front cover of a bound volume.

Separates

Issues of a serial which are cataloged as monographs.

Serial

A publication issued in successive parts, usually at regular intervals, and intended to be continued indefinitely.

Serials Board

A board appointed by the Director of the LSU Library to provide an orderly procedure, according to specified rules, for the approving or cancelling of serial subscriptions (gift, exchange, or purchase).

Serials claim form

The mimeographed form used by the Serials Department to claim missing issues. (See appendix 5).

Serials Claims Assistant

The person in the Serials Department who is responsible for claiming.

Serials decision form

A mimeographed form specifying the disposition of a serial when that decision does not appear on the subscription form. (See appendix 1).

Serials record

An alphabetical file of all titles and holdings of serials in the LSU Library.

Serials Record Assistant

The person in the Serials Department who is responsible for the checking-in, binding notification, and posting of bound serials.

Serials subscription form

A printed form used in duplicate to request a new subscription to a serial (purchase, gift, or exchange); also used to enter in the Serials Record a new title received on a y-slip. (See appendix 2).

Skipped issue claiming See automatic claiming.

Spiral binding

An in-house process which binds issues between heavy covers with a plastic spiral spine; or, which comes with a spiral spine and are lettered as a permanent form of binding.

Stacks

Shelves in the library on which books are shelved.

Standing order

A title being received through the Order Department on continuation whose successive units are published at different times.

Subscription form letter

A mimeographed letter typed in duplicate for each purchased subscription. (See appendix 7)

Superseded issues

Issues of a serial no longer relevant because of subsequent published information.

Superseded title

A serial that has been replaced by another serial and, as a rule, given a different call number.

Supplement

An extra issue, etc., so designated as a part of a specific issue.

Systematic claiming

Claiming by frequency or by alphabetic arrangement.

TPIC

Title page, index, and contents.

Temporary flimsy

The verso of the white part of the subscription form which serves in the Serials Record to record holdings for uncataloged titles. (See appendix 2)

Tip-in

The process by which loose pages and replacement pages are inserted into bound volumes.

Tip-in shelves

The area in the Preparations Department where items needing tip-ins are placed.

Title variation

A change in title of a serial or a partial change in the title so that there is a variation from the form in use.

Title varies slip

A p-slip on which a title change of a serial is typed. (See appendix 13)

Togic binding

An in-house temporary binding done with plastic tacks used to hold issues together on the shelves until the unit is ready for binding.

Trace

A method used by Divisions for searching for lost issues.

True zeros

Free materials which come into the Serials Department and which are not on the Serials Record. See also Zero material.

USBE See Universal Serials and Book Exchange

Unbound holdings

The issues of a serial not yet in their permanent form of binding.

Universal Serials and Book Exchange

An organization used by libraries as a source of serial and monographic lacks. USBE is used by the Serials Department especially for replacement issues.

"Until forbidden"

The basis on which the Serials Department places all subscriptions. The title is to be sent until the request is countermanded. See Subscription form letter (appendix 7).

"Via cat."

A notation used by the Serials Department indicating that a piece or binding unit is to be sent to the Serials Cataloger for analyzing or training.

Verification

The process by which a serial is verified to be in print and/or cataloged.

Vertical file

A case of cabiners in a division used for storage of subject material and items of current interest only.

Whole numbers

A serial whose issues are given consecutive numbers from the beginning. These issues may also be numbered by volume.

Withdrawal

The removal of all or part of the holdings of a serial title from the library collection.

"Xerox" replacement

Photocopy used to replace missing issues or pages instead of original copy.

Y-slip

Yellow slip

Y-slip purchase

A purchase made on a y-slip of a title for which there is no subscription because not every piece is wanted or because a certain piece wanted is not supplied on subscription.

Zero material

Items which come into the Serials Department but which cannot be located on the Serials Record. See also Temporary zeros; True zeros.

BUDGET

I. University Budget:

A. Part of total appropriation to the L.S.U. System from the Louisiana Legislature.

B. Based on budget proposal as presented to the Legislative Budget Committee each fiscal year.

C. Baton Rouge campus portion subdivided among its various components, based on budgets presented to the University's Budget Committee.

II. Library Budget:

A. Constructed by Director after consultation with Administrative Council and key library personnel.

B. Submitted to the University's Budget Committee for approval and incorporation into total University's budget for each fiscal year.

C. Divided into major categories when appropriation received -- such as administration (includes personnel salaries), automated circulation, books, serials, etc.

D. Book category subdivided among divisions of collection development and submitted to Faculty Senate Library Committee for review and approval.

E. Transfer of funds from one category to another effected by Director when necessary.

III. Serials Budget:

A. One of the categories of the Library's Budget.

B. Divided into five subsections:

1. Renewal budget for covering past subscription commitments. An allowance is made for price increases over expenditures

for prior year. The Percentage allowed for price increase is based on a national average.

2. Backfile budget for acquiring issues published prior to beginning of subscription.
   a. Follows guidelines for backfile on page 25.
   b. Used only for those titles for which backfile is requested.
3. Replacement budget for replacing mutilated and lost issues.
4. New subscriptions budget which is subdivided among the collection development divisions of the library.
5. New order budget for y-slip purchases which is also subdivided among the collection development divisions of the library.

IV. Binding Budget:

A. One category of the Library's budget.

B. The allocated budget is based on the following:
   1. Previous year's expenditures.
   2. Most recent contract prices.
   3. Anticipated new serial titles.
   4. Newly established binding procedures within the library.

C. The budget covers all expenses incurred from materials being bound commercially under the binding contract.

D. Invoices are approved and ledgers maintained in the Preparations Department before being forwarded through the Library's Accountant for payment.

SERIALS SELECTION RESPONSIBILITY

I. Serials Selection:

This is a part of the collection development function and is the responsibility of those individuals who monitor the various Book Budgets (hereafter referred to as Collection Development Officers). Faculty, staff, and students may also recommend serial titles for consideration; these are reviewed by the Collection Development Officer responsible for the collection in that subject and may be recommended to the Serials Board to consider for purchase.

II. Criteria considered in selection include, but may not be limited to:

A. Ongoing and special programs being taught in the University.

B. Library holdings on the same subject.

C. Holdings of other major area libraries may be considered before subscribing to:

1. Expensive materials.

2. Research material of limited use.

3. Materials in which other area libraries specialize.

D. Ongoing commitment of Library funds for both subscription cost and binding cost.

E. Determination of value to the collection, whether permanent or temporary.

III. Serials Board:

The Serials Board, appointed by the Library Director, has been created to provide an orderly procedure for approving and cancelling serial subscriptions. The Serials Board must act favorably on a subscription request before it can be forwarded to the Serials Department or Gifts and Exchanges Department for implementation.

A. The Serials Board has been charged with three primary responsibilities:

1. Screen all new serial subscription requests and approve or disapprove regardless of which funds will be charged.
2. Conduct a continuing review of serial subscriptions in an attempt to reduce serials costs.
3. Make decisions with regard to which serials the Library receives and how they are to be charged.

B. The Serials Board has the final decision on which subscriptions will be placed:

1. When the selection process has been completed, a subscription form is channeled through the Serials Librarian or other Serials Board member for consideration by the Board. Included with the form should be a sample, brochures, and any other information which would aid the Board in making a decision on the title. Each title is considered individually.
2. If a request is not approved, the form with all supporting materials is returned to the initiator. An explanation for the Board's decision is included. The title may be resubmitted at a later date at which time it will be considered as a new title.
3. For requests approved, the form and other materials are returned to the Collection Development Officer who checks the subscription form for completeness. The form is then ready to be forwarded with all supporting materials, including backfile requests when appropriate, to the Serials Librarian or Gifts and Exchanges Librarian for implementation.

SELECTION PROCEDURE

I. Serials Selection:

Any publication issued as a series whether a periodical, newspaper, monograph, or annual (or less frequent) is selected by the same process. For every volume wanted of a monographic, annual, or less frequent series, the desired volume(s) may be purchased on a y-slip (see page 27) rather than setting up a subscription. The approval of the Serials Board is not needed for y-slip purchases.

There are several occasions which involve consideration of a serials title for a subscription:

A. An academic department, student, or other patron may send a recommendation for a serial subscription or title to any member of the Collection Development Staff for consideration.

1. A subscription form for each title must be completed by the Collection Development Officer.
2. If the request came from an academic department and the cost is found to be much higher than that first indicated, the request may be returned to the department for reconsideration. Proceeding with the placing of any subscription is at the option of the Collection Development Officer.
3. Sample copies should be obtained, if possible, for those titles under consideration.
4. If there is no sample available, the person who requested the subscription may have an issue and be willing to lend it to the Library for the short time necessary for examination and assessment as to worth.

B. A sample copy, advertisement, brochure, or review of a title which seems worth investigating is noted by the Collection Development Officer:

1. General serials which overlap academic disciplines and reference serials are selected by the Collection Development Officer.
2. Serials on a specific subject may be sent to the appropriate academic department for a recommendation. All materials sent to a department should be returned to the Collection Development Officer who then decides whether or not to pursue placing of the subscription.
3. Samples for those titles which are not selected should be placed in the "sample files" maintained by the Collection Development Officers. These will be an aid to selection in the event the title is considered at a later date.

C. An issue of a title available as a gift is received:

1. The Gifts and Exchanges Department determines any Library holdings of the title and forwards it to the appropriate Collection Development Officer for consideration.
2. The Collection Development Officer examines the title using the same criteria as for a paid subscription. The cost of processing and maintaining a "free" title must be considered carefully:
   a. For those titles which are not to be added to the collection, the Gifts and Exchanges Department is notified via a serials decision form (See appendix 1). The Gifts and Exchanges Department then informs the source that we do not wish to continue receiving the title. Occasionally

it seems impossible to have a title stopped. These are entered in the Serials Record with a note to "Discard on Receipt".

b. If the value of a title or the dependability of its receipt is questionable, a decision may be made to keep the title in the Vertical File of the Division until the decision is changed. The Serials Department is notified via a Serials Decision Form.

c. For those titles which the Collection Development Officer would like to have added to the collection:

1) A title which is selected must be approved by the Serials Board before being added to the cataloged collection. If it is of only temporary value, it may be cataloged and retained for a specified period of time.

2) The Gifts and Exchanges Librarian writes to verify that the title is available free.

D. A title is offered on exchange:

1. The Collection Development Officer is informed of the offer by the Gifts and Exchanges Librarian after present holdings have been determined.

2. The Collection Development Officer, with the assistance of the Gifts and Exchanges Librarian and, when necessary, an appropriate faculty member, determines the scholarly worth and monetary value of the title:

a. Titles which are selected must go to the Serials Board for approval. If approval is received, the Gifts and Department sends the agency offering the title a list

of item(s) which LSU is willing to offer on exchange for that title. It is possible that the offer of exchange will be withdrawn if LSU has no suitable title(s) to exchange.

b. If this Library does not wish to receive the title offered on an exchange basis, the Gifts and Exchanges Department informs the agency offering the title.

E. Notice is received that a title is no longer available as a gift or on exchange:

1. The appropriate Collection Development Officer is notified by either Gifts and Exchanges or by Serials.
2. The title is re-evaluated to determine whether a paid subcription should be placed. If it should be, the Collection Development Officer proceeds as in the case of any other subscription under consideration. No action by the Collection Development Officer is necessary if the decision made is not to enter the subscription.

F. The Collection Development Officer may be searching for titles to strengthen a part of the collection. Surveys of the literature for that subject area, reviewing services, or other collection development tools may be utilized. Titles selected are processed and submitted to the Serials Board for approval.

G. Duplicate subscription requests must be submitted to the Serials Board for approval. Duplicate subscriptions are discouraged but may be needed in the following cases:

1. Binding copy or prebound copy for heavily used titles.
2. Microform subscription in the place of binding.

a. Once a year (usually near the end of the fiscal year), new requests for microform subscriptions instead of binding are considered by the Serials Board. The Serials Budget will be adjusted to cover the cost. (See also guidelines under retention format, page 12-13).

b. In addition to a subscription form for the microform edition, a serials decision form must be completed for each paper copy affected. It should indicate the change in binding decision and any other relevant information.

3. Library tools and occasional reference works which are needed in more than one area.

4. Titles needed in both the Main Library and a branch or special collection.

II. Subscription Form: (See appendix 2)

Selection of a title for subscription involves completion of the serials subscription form by the Collection Development Officer. Parts of the form will aid in the final selection; others are primarily aids for cataloging and/or other serial decisions.

A. Sample copies:

In addition to being a primary aid to selection, a sample is useful to the Collection Development Officer in verifying the title and to Serials Department in placing the subscription. From the sample copy, much of the information necessary for completion of the subscription form can be obtained:

1. The Collection Development Officer's sample copy file should be checked. If there is no sample and the request has come from an academic department, the person making the request may have an issue available for a short loan.

2. Serials personnel at the request of the Collection Development Officer will write to the publisher requesting a sample copy.
3. When a sample copy is not available, reviews of the title should be located. Reviews are also helpful even when a sample is in hand.

B. Completing the Subscription Form:

Those parts which are an aid to selection should be completed prior to presenting to the Serials Board; other parts, at the discretion of the Collection Development Officer, can be completed after approval and before the form is forwarded to the Serials Department or to the Gifts and Exchanges Department. (Section "C" lists those items on the subscription form which must be completed):

1. Verify the entry if possible:
   a. All sources need not be checked once the title is verified. If the entry cannot be verified but a sample copy is in hand, Serials Department will accept information from the sample as verification. Sources to be checked, in order of preference are:
      1) Library of Congress Depository (LCD)
      2) National Union Catalog (NUC)
      3) New Serial Titles (NST)
      4) Union List of Serials (ULS)
   b. From the verification source, obtain the following information if available:
      1) Correct entry
      2) Beginning date of publication
      3) Frequency of publication

4) The LC card number, if available

5) The publisher's name and address

6) Cross references, if any

2. Check the Serials Record and the Public Catalog for Library holdings of the title under the established entry:

   a. If there is a current subscription to the title:

      1) Write the call number of the title and Library holdings on the form.

      2) Return the form to its source.

   b. If the title is in the Serials Record or Public Catalog but is non-current, write the call number and Library holdings on the form and proceed with placing a current subscription.

3. Obtain the subscription price; sources which may be used include:

   a. Ulrich's International Periodicals Directory

   b. Irregular Serials

   c. Dealer's lists such as Faxon or EBSCO (The name of a dealer may be used in place of the publisher's address if a title being pursued is in its list.)

4. Obtain indexing information:

   Check to see if the title is indexed. Appearance in an indexing or abstracting service may be a strong indication that the title should be added to the collection. Sources of information about the indexing of titles include:

   a. Ulrich's International Periodicals Directory

   b. Faxon's list

c. Lists of serials included in the indexing or abstracting services, i.e. Reader's Guide, Index Medicus, etc.

d. The publication itself

5. Decide on backfile, using the guidelines (See page 25)

6. Decide on the retention format which will be determined by use and the needs to be served. This decision may be delayed if the amount of use a title will receive is uncertain or if the format is one which may not lend itself to binding:

a. Retention format decisions:

1) Bind commercially

2) Pamphlet bind

3) Retain current year only

4) Retain for a limited time without binding

5) Purchase microform in lieu of binding

b. Factors to be considered:

1) As a rule, any title which is expected to form a permanent part of the Library collection should be bound.

2) In the case of some heavily used and/or frequently mutilated titles, it is desirable to have either a second subscription for binding or a subscription to a prebound copy.

3) Substitution of microform for binding may be satisfactory when the format of the material makes binding expensive or difficult or when use is expected to decrease substantially as the material ages.

4) In some cases in which materials are heavily used or frequently mutilated, it will be desirable both to bind a copy and subscribe to microform.

5) It will sometimes be desirable to retain current year only or to togic bind and retain for a limited time either in the regular stacks or in Hill Annex. This treatment is appropriate for materials which are of limited value or of no value except when current, i.e., trade journals, unindexed travel magazines, etc.

C. Certain parts of the subscription form can be completed from the sources listed in "A" and "B" on the previous page. A completed sample subscription form is in Appendix 2. The items on the sample form are numbered. In the explanations below, refer to these numbers:

1. Item #'s 1, 3, 4, and 6 are usually available from the verification sources.
2. Verification sources, Item #'s 13, and 15, which have been checked are indicated in the first column under "Verification:". For those in which information was found, place a check (✔) also under the "Found" column.
   a. For NST and NUC, the year in which the information was found should also be indicated in the space provided at Item #15a.
   b. Any LC card number found should be given in Item #16.
3. Services in which the title is indexed are given in Item #8.
4. In Item #9, indicate recommendation as to disposition.
5. In Item #10, indicate recommendation as to treatment for monographic titles.
6. Indicate that the SR and PC (Public Catalog) have been checked in Item #11. If the title is found in either or both, indicate this by a check (✔) in the proper column and wirte the call number in the space at Item #2. Holdings are indicated on the reverse of both sheets. (See Appendix 2).
7. For Item #14, indicate the sources which have been checked for prices and/or other information.
8. Show the price and fund to be charged in the spaces in Item #18.

9. The backfile decision should be indicated in Item #19. In Item #19a, indicate whether the Serials Department or Gifts and Exchanges Department should try to obtain the backfile. Note also the priority rating. (See page 25).
10. Items bracketed under Item #17 are self-explanatory and should be indicated as applicable.
11. The destination, if wanted on Reference or in a location not indicated by the call number, is given in Item #5.
12. If the Order Department files have been checked, indicate this in Item #12.
13. In Item #7, indicate the date the subscription should begin, usually the current year.
14. Before the form is forwarded to the Serials Librarian or Gifts and Exchanges Librarian for implementation, it must be signed by the Collection Development Officer in the space provided at Item #20.
15. Items on the reverse of the subscription form should be completed also, if applicable: (See appendix 2)
    a. Holdings in Library.
    b. Any remarks such as those needed to indicate attached material, explanatory information about the subscription, etc.
    c. Notes which were found in verification.
    d. Any cross references found while verifying.
16. The person who requested the subscription and the appropriate department is indicated. If one wishes to be notified when the title begins coming, the name is written by "Notify."

Subscriptions which are "RUSH" should be so indicated on the upper right hand corner of the form.

III. Final Approval:

The subscription form for a title selected is forwarded to the Serials Board. (See page 7).

SUBSCRIPTION PLACEMENT

I. Paid Subscriptions:

A. Responsibility:

The completed, approved subscription form is sent to the Serials Librarian who proceeds with the steps necessary to place the subscription.

B. Procedure in the Serials Department:

1. Complete the Subscription Form:

a. The form is dated and checked for fund designation, proper signature, beginning date and volume of subscription, and additional information which may be needed.

b. The official entry is determined and pertinent files (LCD, SR, and Order File) are checked. A valid price is determined if possible.

2. Select Dealer:

a. The dealer is determined on the basis of companion titles which are presently supplied, country or language of publication, and other factors.

b. Subscriptions are placed "Direct" when the publisher will not supply through a dealer or when several services are grouped together under a contract. Divisions may request direct subscriptions.

3. Prepare Subscription Letter:

a. An "Until forbidden" subscription form letter is typed in duplicate for all subscriptions. (For sample see Appendix 7)

b. The original of the subscription form letter is sent to the dealer, and the duplicate is retained in the Authority file (AF).

4. Prepare purchase order.

   a. A multiple order form is typed for all purchased subscriptions. A Library Serials number (LS#) is assigned for new subscriptions and typed on the order form. (See Appendix 3 and 7)

   b. The order form is proofread and the various copies distributed:

      1) Goldenrod - Filed in new serials title file to signify that the subscription has been placed. It is left there until the first piece is received and then transferred to the received file for the yearly statistics.

      2) First white - Attached to the carbon of the subscription letter and placed in the Authority File.

      3) Second white - Sent to the Department to notify them that the subscription has been placed.

      4) Green - Notifies the Accountant to encumber the sum of money the title will cost.

      5) Pink - Attached to the serials financial card to signal the Serials Financial Assistant that the title must be charged against the appropriate fund.

      6) Blue - Filed in new serials title box on the Serials Financial Assistant's desk and goes with the initial invoice to notify the Accountant to release funds from the encumbered account into the expended account.

      7) Yellow - Given to Serials Replacement Assistant to set up the process for obtaining the backfile if the subscription form indicates that the backfile is desired. If the backfile is not wanted, the yellow copy is discarded.

II. Memberships:

Memberships are paid through the Serials Department. They may reduce the cost of the publications of a society, association, etc.; or they may be the only means of obtaining some publications. Membership may occasionally be obtained in an association by virtue of subscribing to its journal. There are other associations of which the Library may become a member for their "prestige value".

A. Serial titles and monographs may be received on memberships. Audiovisual materials, except microforms, are excluded. Monographs are a particular problem, as it is sometimes difficult to determine which titles will be supplied on the membership. Divisions may notify the Serials Claim Assistant of any titles which have not been received. The association is asked to supply the title. The Library may be billed for its cost.

B. A list of associations in which membership is held is kept by the Serials Department. A card is put into the Serials Record for each association in which membership is held, and used to list all serials which are to be received by virtue of membership in the association. Each serial also has its own card filed in correct alphabetical sequence in the Serials Record, and used for checking in the holdings of that title. Another card under the name of the association may be used for checking in monographs received.

III. Gifts and Exchanges Subscriptions:

Once a subscription for a title being considered for gift or exchange has been approved by the Serials Board, the information necessary for placing it is forwarded to the Gifts and Exchanges Department.

RENEWALS

I. Renewals are titles for which the subscriptions are automatically continued.

II. Means by which renewals may be effected:

A. Annual invoices of dealers.

V. Renewal notices received from publishers.

C. Claiming procedures; i.e., requesting invoice from source when needed.

D. Periodic checking of direct renewal file (those titles received from the publisher).

E. Gift and exchange procedures.

III. Referrals are made to Collection Development Officers so that continued need can be assessed for those titles which have:

A. Sharp rise in price.

B. Drastic changes in format, content, etc.

IV. Superseded titles are considered cancelled upon cessation.

A. The new title (superseding) is treated as any other new title and is not automatically picked up by serials.

B. Divisions are notified of changes by:

1. Sample copy of new title.

2. Xerox copy of information received.

3. Note on binding notification.

C. Using appropriate selection criteria, the Collection Development Officer makes a decision regarding the new title and the Serials Department is notified of the decision as soon as possible.

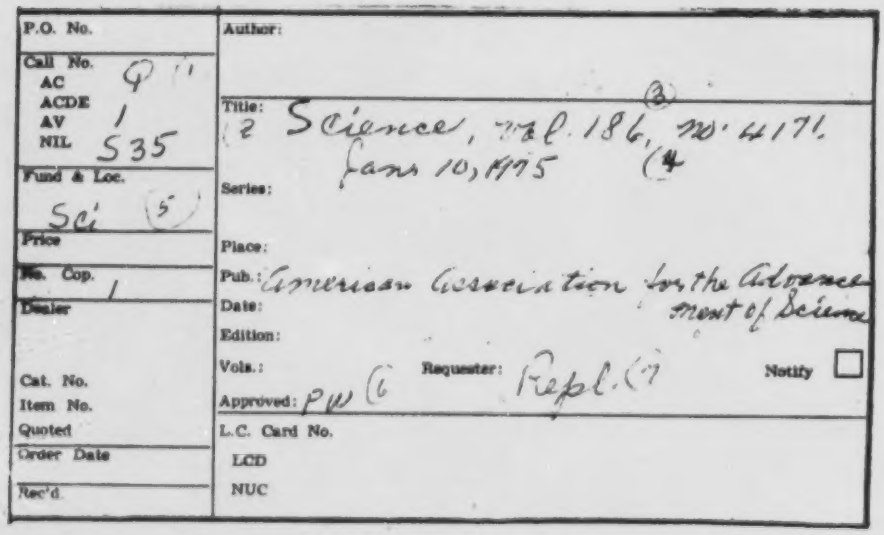
SERIAL ORDERS OTHER THAN SUBSCRIPTIONS

I. Replacements:

Replacements are ordered for lost issues and for pages missing from serials.

A. Division personnel are responsible for making replacement requests to the Serials Department. The proper method for ordering replacements is the y-slip; with division personnel providing the following information: (See Sample # below)

1. Call number.
2. Title of series.
3. Series or volume number.
4. Missing issue number(s), date(s), and page number(s) if applicable.
5. Fund (abbreviation of Division making request).
6. Initials of person completing form.
7. Requester: Use the word "Replacement" or Repl."
8. Specify Xerox, if desired.



Y-slip Sample

B. If there is a binding notice for the volume or piece, it is returned to the Serials Replacement Assistant with the y-slip.

C. Serials Replacement Assistant is responsible for determining the publisher's name and address, if needed, and for obtaining replacements:

1. Serials Replacement Assistant marks the Serials Record to indicate the piece is "lost" and discharges the unit from binding if necessary.

2. Requests for replacement pieces generally go either to the publisher or Universal Serials and Book Exchange (USBE) depending upon the title and date:

a. If replacement is not received from one source, the other is tried.

b. If nothing is received from either source the request may be:

1) Recycled to USBE at a later date.

2) Placed on a want list to be circularized among various dealers.

3) The Serials Record is changed from "lost" to "OP".

D. Handling Xerox Replacements:

At times it is more expedient to obtain xerographic material to replace missing issues or pages for binding:

1. These materials must be either Xerox or IBM as the other thermographic and wet copies are not permanent. A large margin on the left side of the page is necessary for binding:

a. Request materials through Serials or through Interlibrary Loan directly:

1) Serials: Fill out a "Y-slip" including the inclusive pages and the statement: "Xerox copy with large margin on the left for binding."

2) Interlibrary loan: Complete the appropriate section of the Interlibrary loan form (See appendix 8) and include in the remarks: "Xerox with large margin on the left for binding."

2. Upon receipt in the division, the material is inserted in the binding unit and the pieces are taken to the Preparations Department where the complete unit is placed in the tip-in bin. Personnel in the Preparations Department will do the necessary trimming and place the pages in the correct sequence for binding:

a. When there are too many pages to be tipped in, a "Rebind" notification (see page 60) must be initiated by the Division or requested from Serials Department.

b. When seven or less replacement pages are to be tipped into a bound volume, a note specifying issue number and pages to be replaced is attached to the replacement pages or bound volume. The unit is placed in the tip-in bin in Preparations Department.

II. Backfile:

Backfile is the descriptive term applied to the numbers of a serial preceding the current issue. This term is most often used in the LSU Library to refer to the numbers or volumes which were published prior to the issue with which the LSU subscription commences. Thus backfile is commonly used as a term to refer to issues of a serial which are not in the Library collection:

A. The respective Collection Development Officers, rather than the Serials Board, are responsible for deciding whether or not the backfile should be acquired:

1. The decision is usually made at the time the subscription is placed and is indicated on the subscription form. The designation "Serials" or "G&E" on the form refers to the basis on which the backfile is desired, not to the basis on which the subscription is set up. (See appendix 2)
2. The decision may be changed at any time by direct communication with either the Serials Department or Gifts and Exchanges Department.
3. Priorities must be attached to all backfile requests. Ratings of "1" - top priority, "2" - second priority, or "3" - low priority must be given to each request. Priority "1" cards are filed separately from the others to facilitate their acquisition.

B. For paid subscriptions beginning with an issue other than the first one of a volume, the Serials Department automatically orders the issue(s) needed to complete that unit for binding.

C. For those Gifts and Exchanges titles which begin with an issue other than the first one of a volume, the issue(s) needed to complete that unit for binding must be purchased on a y-slip and charged to the Division funds if Gifts and Exchanges Department cannot secure. (See page 22)

D. When "Serials" is indicated as the source for the backfile on the subscription form, the Serials Department will automatically order the backfile for the last five bibliographic units of the title.

1. The Collection Development Officer attaches a y-slip to the subscription form for any volumes of the backfile needed immediately. Serials charges these against the appropriate fund.
2. When a y-slip is not attached and more than five bibliographic units have been published, a backfile card is typed for the file. These are ordered according to priority and availability as funds are provided.

E. When "G&E" is indicated as the source for backfile, Serials Department will not purchase the backfile. The request is forwarded to the Gifts and Exchanges Department to be pursued.

F. When a decision has been made not to obtain a backfile, but an extensive run is received through the Gifts and Exchanges Department, the Collection Development Officer is consulted for a decision regarding addition to the collection.

G. The format for backfile may be either paper (original, reprint, or xerographic) or microform. Generally backfiles are obtained in the most economical and expeditious manner possible.
1. Long runs are preferred on microform if available.
2. Short runs, or single volumes, may be ordered on microform with the concurrence of the Collection Development Officer.

III. Added copy of a serial:

Occasionally an added copy of an issue of a serial may be needed. A y-slip is made out in the same manner as for a replacement with two exceptions:

A. The call number is given with the number or date of the piece for which an additional copy is wanted enclosed in parentheses. The notation "AC" - "added copy" - is circled.

B. "Replacement" is not noted as the requester.

P.O. No.	Author:
Call No. (AC) Q / ACDE 11 / AV / NIL L52	Title: Contributions in science no 3 only
Fund & Loc.	Series:
Price	Place: Los Angeles
No. Cop.	Pub.: Los Angeles County Museum
Dealer	Date: 1971
	Edition:
Cat. No.	Vols.: Requester: Notify ☐
Item No.	Approved: PW
Quoted	L.C. Card No.
Order Date	LCD
Rec'd.	NUC

Added copy sample

IV. Y-slip purchases of serials.

Titles for which there is no subscription because not every piece in the series is wanted and pieces not supplied on subscription are ordered on y-slips. Directories, annual publications, monographic series, some titles which are catalogued as monographs but are part of a series, special issues or supplements of some series, and irregular publication may be considered for purchase on a y-slip.

Y-slips for series entered in the Serials Record are sent to Serials Department for ordering. When an order for a title has been determined by the Order Department to belong to a series that has been cataloged as a serial, it is sent to the Serials Department to order.

A. For a piece not owned which is part pf a series in the Serials Record, complete the following information on the y-slip:

1. Call number of the series with "AV" - "added volume" - circled.
2. Fund to be charged and price, if known.
3. Title - name of the series as it appears in the Serials Record and the volume and/or issue number. Write "In SR" to the left of the title.
4. Place and publisher of the series, if known.
5. Date of the piece.
6. Initials of the Collection Development Officer.

P.O. No. (1)	Author:
Call No. RJ 499 A1A53 AC ACDE (AV) NIL	Title: In SR Annual progress in child psychiatry and child development, 1969
Fund & Loc. S.S (2)	Series:
$ 15.00	Place: New York (4)
No. Cop.	Pub.: Brunner/Mazel
Dealer	Date: 1972 (5)
	Edition:
Cat. No.	Vols.: Requester: Notify ☐
Item No.	Approved: bj (6)
Quoted	L.C. Card No.
Order Date	LCD
Rec'd.	NUC

Added volume sample

B. For a piece which is part of a series which is catalogued as monographs ("separate") a procedure similar to that in "A" is followed. The following information is needed:

P.O. No.	Author: Noyes, Robert E.
Call No. AC ACDE AV MIL	Title: Citric acid production processes
Fund & Loc. Sci (1)	Series: (3) In SR (Chemical process review No. 37)
Price	Place: Park Ridge, N.J.
No. Cop.	Pub.: Noyes Development Corp. (5)
Dealer	Date: 1969
	Edition:
Cat. No.	Vols.: Requester: Notify ☐
Item No.	Approved: RW (6)
Quoted	L.C. Card No.
Order Date	LCD
Rec'd.	NUC Cat as rep

"Separate" sample

1. Fund and, if known, price.
2. Author and/or title of the piece.
3. Series as it appears in the Serials Record and the number of the piece with "In SR" to the left of the series.
4. Place, publisher, and date.
5. Initials of the Collection Development Officer.

C. For a piece which is part of a series which does not appear in the Serials Record, give the following information on a y-slip:

P.O. No.	Author:
Call No. AC ACDE AV NIL (1)	(3) Kirsten, Lincoln Title: (4) Dance
Fund & Loc.	Series: NSR (A Dance Horizons republication, A)
Price	Place: Brooklyn
No. Cop.	Pub.: Dance Horizons (5)
Dealer	Date: 1969 Edition:
Cat. No. Item No. Quoted	Vols.: Requester: Notify ☐ Approved: ak (6)
Order Date	L.C. Card No. LCD
Rec'd.	NUC

Identified series sample

1. Circle "nil" in the call number box.
2. Fund and, if known, price.
3. The author and/or title of the piece.
4. The name of the series with "NSR" - "not in Serials Record" - to the left of it.
5. Place, publisher, and date.
6. Initials of the Collection Development Officer.

V. Y-slip subscription:

This form of subscription should be discouraged. If it is desirable to have a title in the collection, a regular subscription should be placed. Two circumstances under which y-slip subscriptions are used:

A. Expensive titles for which continuing funds might not be available.

B. Unanticipated monetary gains which need to be used. Titles (s) should be selected for which subscriptions will be placed when funds are available.

SUBSCRIPTION CANCELLATIONS

I. Gift or exchange titles which are no longer available on this basis and for which no paid subscriptions are entered, are considered one form of cancellation. (See page 8)

II. Paid subscriptions:

A. Cancellation may be recommended by faculty or by Division personnel.

B. Faculty members may be consulted when the Collection Development Officer is considering cancellation of a title.

C. Prime candidates for cancellation are those titles which have increased substantially in price or changed in coverage, content, format (as newspaper).

D. Care must be taken to guard against cancellation of titles which may be multi-disciplinary, without consideration of all subject areas involved.

E. Only cancellations for substitution are channeled through the Serials Board. Subject to approval of the Board, the titles to be substituted are added the year following cancellations.

F. For substitution cancellations, Divisions are not permitted to substitute on a title-for-title or dollar-for-dollar basis but may be given credit for systematic comprehensive cancellations.

G. Cancellation should be done once a year, preferably before June 30. This is necessary in order to effect a cancellation at the close of the calendar year since this is the basis on which most subscriptions are paid.

H. Titles to be cancelled are entered on a Serials Decision Form (see appendix 1) with an explanation and the form is forwarded to the Serials Record Librarian for implementation.

I. If issues are received after cancellation was to have become effective, their disposition is at the descretion of the Collection Development Officer.

1. They may be retained in an unbound form.
2. Complete volumes may be bound. If one or two issues are needed to complete a binding unit, these may be ordered by the appropriate Division on a y-slip.
3. Unbound issues may be withdrawn by sending them to the Serials Record Librarian with a note.

SERIALS RECORD

I. Definition:

The Serials Record is a list of over 30,000 titles and serials holdings in the LSU Library. Approximately one-half of the titles are active.

II. Description:

An alphabetic arrangement on cards includes catalogued and uncatalogued titles, cross references, and directional cards.

III. Public access:

A. Hours:

1. 7:30 a.m. - 4:00 p.m. Monday - Friday
   a. By phone - number 3333
   b. At window via Serials personnel
   c. By perusal of the Serials Record for lengthy projects
2. 4:00 - 10:00 p.m. Monday - Friday (4:30 p.m. Friday during summer session) via Information Desk Personnel
3. 2:00 - 10:00 p.m. Sunday and 8:00 a.m. - 5:00 p.m. Saturday via Information Desk Personnel
4. Other hours the Library is open via Division personnel who obtain a key to Technical Services from the Circulation Department when the area is locked. Information Desk Personnel provide access to the area for Division personnel who wish to consult the Record when the Desk is staffed.

B. Linadex:

The Linadex is a rotating file located in each Department and listing those titles catalogued for that area (exceptions are Louisiana Room, Bibliography Collection, and Newspaper-Microform

Room). Serials types the strips, but each Department is responsible for maintenance of its linadex.

1. Strips are forwarded to the Division by Serials when a new title is catalogued or when changes are needed:
   a. Strips contain call number, title, issues in Hill or on Microform (including fiche or film number) and "Last vol. Ref." information.
   b. A pink strip overlay is used to indicate that issues for the current year are on display. These are indicated on the strip by the end being colored with a red pencil by Serials personnel before forwarding the linadex to the division.
2. For title variations and/or entry changes, only the latest should appear on the linadex.
3. For a title housed in the Rare Book Room, a strip is sent to the Division where it would otherwise be shelved.
4. Cross references on the linadex are the Division's responsibility.

IV. Types of entries in the Serials Record:

A. Current catalogued titles, indicated by:
   1. Flimsy filed over holdings card
   2. Method of receipt (gift, exchange, or purchase)
   3. Source (dealer, publisher, etc.)
   4. Protective edge (pink for gift or exchange, clear for purchase)
   5. Financial card for purchased titles

B. Non-current catalogued titles (holdings card only):
   1. Ceased titles shown by closed entry (if information is available)

2. Title variations:

a. Entry under each title change showing holdings under that title

b. "Title varies" stamped on holdings card at point of change (when known)

c. Title varies notes typed on front of holdings card

3. Y-slip purchases (for titles of which only occasional issues are desired)

4. Cancelled titles, indicated by "Subs. cancelled" note written in pencil on the holdings card

5. Titles no longer available by gift or exchange are so noted and Collection Development Officers are notified.

C. Uncatalogued titles, for which the white and/or blue part of the subscription form serve as a temporary flimsy or holdings card in the Serials Record (current if a subscription has been placed; noncurrent if pieces have been ordered or received but there is no subscription).

D. Directional cards (buff colored):

1. "Send to (Division) vertical file"

2. Discard

3. "Send to (Division)"

E. Cross references (buff colored)

V. Information found in Serials Record (See Appendix 4)

A. Front of flimsy (current titles only)

1. Call number.

2. Entry and/or title.

3. Destination.

4. Frequency.

5. Basis on which received (gift, purchase, etc.).

6. Source.

7. Provisions for checking in issues.

8. Unbound holdings (if checked in on flimsy).

9. Charges to binding (if checked in on flimsy).

B. Back of flimsy:

1. Index information, if availabe.

2. Binding instructions.

3. Treatment of supplements.

4. Disposal of superseded issues.

C. Front of holdings card:

1. Call number.

2. Entry and/or title.

3. Complete bibliographic information as catalogued.

4. Source.

5. Frequency.

6. Basis on which title is received.

7. Where indexed, if known.

8. Cumulative indexes (cumulative contents disregarded).

9. Backfile request.

10. Title variations.

11. Descriptive notes.

12. Analytics or title tracing decision.

D. Inside holdings card:

1. Destination.

2. Call number.

3. Bound holdings, shown by blue check (✓).
4. Unbound holdings if not indicated on flimsy, shown by penciled "x".
5. Cross references.
6. File line which includes title; copy number, if applicable; and format, if microform.
7. Book pocket information.

E. Back of holdings card:

1. Destination.
2. Call number.
3. Continuation of holdings, if necessary.

F. Financial record for purchased titles:

1. Source.
2. Address, if received from publisher.
3. Standing order number.
4. Other titles included on that subscription.
5. Record of payments.
   a. Period or unit covered.
   b. Source.
   c. Invoice number or date.
   d. Date of payment approval.
   e. Amount.

VI. Other files housed in Serials Department:

A. The Authority File is a history of each title that has been received on subscription. It is presently housed in metal filing cabinets but is being converted to microfiche.

1. The original subscription form and duplicate of the subscription letter are the basis of the authority file for each title.

2. Changes in titles as revealed by letters, announcements, etc., are attached to the file for each title.
3. Also included are changes in decisions concerning treatment of the title made by Library personnel.

B. Files for correspondence regarding titles are separated into "finished" and "unfinished".

C. The Claims File is an alphabetic arrangement of current titles for which issues never received are being claimed from the source. Claims made through EBSCO or Faxon are alphabetized in separate folders and kept at the end of the regular alphabetic arrangement.

D. The Back File is a card file showing lacks desired as additions to the collection. (See page 26).

E. The New Serial Title (NST file) file is an alphabetic list of new subscriptions. Slips are retained in the file until the title is received and a count is made for statistics at the end of the year.

F. The Received File is an alphabetic file of y-slips for titles received on y-slip, whether purchase or gift.

G. The Outstanding File is an alphabetic file of y-slips for serials which are on order.

RECEIPT AND CHECKING IN PROCEDURES

I. Current titles:

A. Distributions Department:

1. The mail is received in the Distributions Department where it is opened by Serials Department student workers. Address labels are kept in the issues for examination in the event of a problem.

2. Mail is loaded onto a book truck according to the alphabetic arrangement of the Serials Record cabinets.

3. In the Serials Department, mail is transferred to appropriate trucks according to alphabetic sequence.

B. Serials Department:

1. Pieces are checked in on either the flimsy or holdings card depending upon the frequency:

a. The date of receipt is recorded.

b. Bound pieces are noted by use of a blue check (✓) on the holdings card. The call number is written on a p-slip and inserted in the piece which is routed to Preparations for processing.

c. Unbound pieces are noted with a pencil mark (✓). The call number is written on the upper left hand corner of the cover following the designated lettering pattern (See appendix 9). If it is not clearly visible there, it is also written on the upper right of the first inside page. The call numbers of display titles are circled.

d. Pieces with heavy covers and a spine stiff enough to allow the piece to stand alone are considered bound and

are so checked in on the Serials Record. Exceptions are those pieces a Division wants commercially bound because of heavy use.

e. For pieces received in spiral binding, (See page 40).

f. Each piece is examined for loose pieces such as supplements and maps. These are checked in on the Serials Record. The call number and volume and issue number are written on each loose piece. Supplements which do not appear to be an actual part of the volume are routed to the Serials Record Librarian for blue slip routing (see page 42).

g. Each piece is also examined for loose or bound-in TPIC's which are also checked in on the Serials Record. The call number is written on each loose TPIC and the piece is sent to the Division in an envelope. A binding notice should accompany any TPIC which completes a bindable unit.

2. Unbound pieces which have been checked in are placed on top of the Serials Record cabinets. At the end of the day, these are collected, and:

   a. Stamped with LSU ownership stamp, being careful not to deface pictures or other material.

   b. Sorted onto a book truck according to Division or area.

   c. Delivered by Distributions the following morning except for those checked in on Friday which are delivered that afternoon.

3. Title varies:

   Changes which are only a simple title varies are effected immediately by the Serials Record Librarian without attention from the Serials Cataloger. The issues before and after the

variation are routed with a "title varies slip" to the Serials Cataloger and on to the Division. (See appendix 13)

4. Change of entry:

When a change of entry is first recognized upon checking in an issue, a "blue slip" with "Change of entry" and the issue number is filed over the flimsy. When a binding notification which includes the issue is written, the blue slip is sent with the notification to the Division. The pieces for binding, binding notification, and blue slip are forwarded by the Division to the Serials Cataloger. The Cataloger makes the necessary revision and forwards the unit to the Serials Record Librarian for revision of the Serials Record. The unit with the revised binding notification is sent to the Preparations Department from Serials.

5. "Via cat":

The notation "via cat" indicates that the piece is to be analyzed before being sent to the Division. It is set aside on a shelf to await examination by the Serials Cataloger. When the binding unit which includes the piece is ready for binding, it is routed by the Division to the Serials Cataloger for a final check.

6. Pieces of a monographic nature:

a. Regularly recieved monographs which do not belong to a series and which are received on memberships or subscriptions are automatically entered on a card in the Serials Record bearing the name of the membership or subscription followed by (Separates). These monographs are checked in on the card by author and title. They are flagged "Treat as Sep." and sent to the Order Department for processing.

b. Monographs belonging to a series not in the Serials Record and received on membership or subscription have the series entered on a Serials Decision Form (see Appendix 1). These are sent to the Appropriate Division Head for a decision. If the series is to be cataloged, a subscription form is completed by the Division Head and returned to the Serials Record Librarian. It is then treated as a new purchased title but is not acted upon by the Serials Board.

c. An irregular unnumbered monograph received on membership or subscription is cataloged as a monograph. If it seems of doubtful value, it is sent to the proper Division for a decision on whether it should be cataloged, kept in the Vertical File, or discarded. If it is to be cataloged, it is returned to the Serials Record Librarian who prepares a y-slip under the name of the subscription or membership on which it was received. For all monographs thus received, "Process y-slip" is written at the bottom of the y-slip and these issues never get checked in on the Serials Record.

7. Materials which complete a binding unit should be forwarded with a completed binding notification (see page 41). Unbound "Last vol. Ref." materials should always be accompanied by a binding notification. Divisions may want to hold these for binding at a later date.

II. New titles:

A. Already cataloged titles:

1. The title is made current when a subscription is entered.

2. The blue part of the subscription form (hereafter referred to as "blue work slip") is clipped over the flimsy.
3. The first issue received is checked in and sent to the Division.
4. The blue work slip is pulled and forwarded to the Serials Record Librarian to report to "New Serials Titles" if needed. The NST slip is marked "received" and the volume, number, and date noted. The slip is transferred to the received section of the NST file.

B. Uncataloged titles:

1. The subscription form is used as a temporary flimsy until permanent records are made.
2. The first issue received is checked in on the temporary flimsy and charged to the Serials Cataloger. The blue work slip is pulled and sent to the Cataloger if the issue is the first one of the subscription. If the issue is part of the backfile, the blue work slip is xeroxed and the xerox copy is sent to the Cataloger.
3. The NST slip is marked "received" and filed in the received section of the NST file.
4. Other issues received before the series is cataloged are:
   a. Checked in on the temporary flimsy.
   b. Marked "SHAW Ca #" (Shelf awaiting call number).
   c. Sent to the shelf in Serials until the title has been cataloged.
5. After the title has been cataloged:
   a. The blue work slip and a catalog card are sent from the Serials Cataloger to the Serials Record Librarian. The

permanent card for the Serials Record is typed and holdings are transferred to the new record.

b. The first issue is marked "New title" near the call number and all pieces are sent to the Division in the regular serials mail.

c. "Rush" subscriptions are flagged with a pink slip indicating the person to be notified.

d. If the subscription form indicates that someone wants to be notified, but the subscription is not a "Rush" one, a white slip is used to flag the pieces so the Division will know whom to notify.

III. Claiming:

The procedure by which an attempt is made to acquire pieces that for some reason have not been received as expected is known as claiming. Patron requests for issues and issues which are needed for binding frequently call attention to the need for claiming. Determining the necessity for claiming is sometimes made difficult by irregular publication. Often the mail system is at fault when a piece is not received. A serious problem resulting from failure to receive a piece is the increased likelihood of items going out of print and thus becoming unavailable.

A. Types of claiming:

1. Automatic or skipped issue:

a. Skipped issues are noticed and claimed while checking in, if an issue prior to the one in hand has not yet been received.

b. Skipped issues are also claimed at the request of a Division or patrons who have evidence that the issue has been published.

c. The need for a claim may be noticed by any one working in the Serials Record. The Serials Claims Assistant is notified.

2. Systematic claiming is done by the Serials Claims Assistant using one of two methods:

a. Alphabetic sequence claiming entails examining each current record to determine issues which need claiming.

b. Frequency claiming entails examining each current title issued at a particular frequency such as weekly or monthly.

B. Claiming procedure:

1. The claim is noted on the Serials Record in the place where the piece would be checked in. "Cl" is written if only one piece is being claimed. "Cl utd" (claim up-to-date) is written if nothing has been received in some time and it appears that several pieces should have been received.

2. The claim form (see Appendix 4) is filled out in pencil as follows:

a. The source of the title (dealer or publisher and address) is written under the letter head.

b. The invoice number, Gift, Exchange, or other explanation is written after "Our records show _____." For a purchased title which has not yet been invoiced, a "Send and bill" is requested and noted on the financial card.

c. In the space after "Re: " the complete title as set up in the Record and the LS no., if available, are written.

d. Below the title, the complete information on item(s) needed (volume, issue number, date, index only, etc.) is written.

e. A reply is requested at the bottom of the form.

3. The completed form is put into the box on top of the Serials Record cabinets. At the end of the day, it is given to the Serials Claims Assistant.

4. The Serials Claims Assistant reviews the claim, refers back to the SR to record the claim, and prepares the form for the typist. The claim is typed, dated, and mailed to the source of the title. If the source is a dealer who supplies claim forms, these forms are used.

5. The handwritten copy is used as the carbon and is dated and filed in the Claims File. If there is a carbon of the dealer's claim form, it is stapled to the handwritten copy.

6. When an issue which has been claimed is received, the notation "Cl" is erased and the issue is checked in. The checker goes to the Claims File and pulls the claim. If everything on the claim has been received, it is discarded. If issues listed on the claim have not been received, a notation regarding those which have been received is made and the claim is refiled.

7. Reclaiming is done either at the request of a Division or when the Serials Claims Assistant is systematically going through the Claims File. Domestic reclaiming is done after two to four months have elapsed or sooner if there is a desperate need for the piece. Foreign materials are reclaimed after four to eight months or even longer depending upon the circumstances.

8. If no response is received to claim letters, a follow-up letter is written requesting information about the piece(s). Occasionally dealers or publishers in the United States are telephoned collect. Overseas publishers are not cabled or telegraphed.
9. If a reply is received stating a reason the issue(s) cannot or will not be supplied, this is noted in the appropriate space on the Serials Record.
10. If an answer is received stating that a piece is "out of print":
    a. A y-slip is automatically made by Serials and added to the want list file for searching. It is not the present policy to order Xerox copy; however, should the Division have a rush need for the issue, Serials may be requested to obtain Xerox copy. As this increases binding costs, it should be carefully considered.
    b. The note on the Serials Record is changed from "C1" to "OP".
    c. The Division is notified that the piece is "OP".
11. If a claimed title is no longer available on gift or exchange, the letter is given to the Serials Record Librarian who makes the title noncurrent. At this time, the Division and Gifts and Exchanges are notified.

C. Miscellaneous comments about claiming:

1. The Serials Department claims purchased titles and most G&E titles. Gifts and Exchanges claims PL 480 titles and G&E titles that seem to have stopped coming completely. The Louisiana Room claims Louisiana state documents and also

maintains contact with various people in and around Baton Rouge in order to acquire other publications.

2. Titles which are new subscriptions may be claimed by the Serials Claims Assistant. The Serials Librarian also examines the NST file and claims titles which should have already started.
3. Some publishers request that claims be made within a specified time in order to be honored. Pergamon, for example, states that claims must be made within ninety days of publication of piece.
4. Various publications may fall behind in publishing and thus not seem up-to-date. This information is noted on the Serials Record. These late publications are not routinely claimed. There are other titles which are not published on a current year basis. These include congresses, translations, and irregular titles. A careful check of receipt dates for previous issues can be used to determine when to claim.
5. Occasionally, "Do not claim" is noted in the Record. Each title of this sort is an individual case and must be treated as such. The Serials Claims Assistant is consulted about these titles if the need arises.
6. "Priority claiming" will be done by Serials when the Division indicates that this should be done. Titles which fall into this category include reference works and heavily used titles.
7. Units will not be bound if there are missing issues. Titles which are exceptions are Agricultural Experiment Station publications or certain other titles which are not supplied in toto. These are bound incomplete at the discretion of the Division.

IV. Replacements are the responsibility of the Serials Replacement Assistant for checking in on the Serials Record:

A. Bound replacements have "repl." written on the upper left margin of the page following the title page. A p-slip with the call number is inserted in the volume which is then sent to Preparations for processing.

B. Unbound pieces are identified by writing "repl." near the call number. They are forwarded to the Division in an envelope marked "Repl." If a replacement completes a unit for binding, it should be accompanied to the Division by a binding notification.

V. Zero material:

Materials which come into the Serials Department but cannot be located are considered "0's". A "0" which is so marked by a student checking in the mail may not be a true "0" but will be found and checked in by other Serials personnel.

A. True zeros are materials which come into the Serials Department as a gift or as an offer for exchange, and which are not in the Serials Record. They are sent to the Gifts and Exchanges Department for sorting and routing to the appropriate Division. The Collection Development Officer evaluates the pieces.

1. Disposition of true zeros:

a. Addition to the collection:

If the Collection Development Officer decides to add to the collection, the Gifts and Exchanges Department will verify the title and then return the subscription form and samples to the Collection Development Officer for presentation to the Serials Board. If the title is approved, but the Gifts

and Exchanges Department is unable to establish a gift or exchange arrangement, the title is returned to the Collection Development Officer for further consideration. If a paid subscription is decided on, the title must be returned to the Serials Board for approval as a purchased title. Louisiana Collection G&E items do not have to be referred to the Serials Board.

b. Discard:

When a title is to be discarded, a Serials Decision Form with the pieces, is sent to the Serials Record Librarian by the Collection Development Officer when there is reason to believe that the pieces will continue to be received. This information is added to the Serials Record with the note, "Discard." There is no need to fill out a Serials Decision Form if there is no reason to believe that the title will continue to be received.

c. Vertical File:

If the Collection Development Officer recommends adding a title to the vertical file which will be received on a continuing basis, a Serials Decision Form must be completed. It is forwarded with the pieces to the Serials Record Librarian. A buff colored card is entered in the Serials Record with the notation, "Send to (Division) Vertical File." Individual pieces which are not part of a cataloged title and which are to be placed in the Vertical File will require no notification to Serials.

2. Materials which come into the Gifts and Exchanges Department from outside the Library and which are serials are sent to the

Serials Department. They are never sent to the Division for a decision without first being checked in the Serials Record by Serials personnel.

B. Temporary zeros:

Some types of materials which are treated as zeros may actually be temporary zeros. These are later found to be changes of entry, title varies, or monographs which come because of other titles or memberships. Refer to page 43 for checking in procedures for these materials.

C. Sample copies:

These may be either solicited or non-solicited. A p-slip marked "Sample Copy" is attached to them, and they are forwarded to the appropriate Collection Development Officer for further action. If a subscription is not to be placed immediately, the sample(s) are filed for future reference.

VI. Withdrawals:

Several occasions may arise which necessitate removal of all or part of the holdings of a serial title from the Library Collection. The pieces may be lost or the decision may be one related to collection development. The procedure followed depends upon the nature of the material being withdrawn.

A. Entire holdings of a title:

1. The Division completes a Serials Decision Form and forwards it with the issues to the Serials Record Librarian.
2. The Serials Record Librarian proceeds as follows:
   a. Removes record of title from Serials Record.
   b. Removes strip from Division linadex.

c. Notifies Serials Cataloger to remove other Library records.

d. Prepares issues for withdrawal, if needed.

e. Makes count for statistics, if needed.

f. Forwards issues to Gifts and Exchanges Department if suitable for further use or discards them.

B. Bound pieces which do not comprise the entire holdings:

1. Pieces are sent to the Serials Record Librarian with a note of explanation; who then proceeds as follows:

a. Stamps "withdrawn" in space on SR where bound volume was checked in.

b. Prepares piece for withdrawal:

1) Blacks out call number with marks-a-lot.

2) Stamps "withdrawn" in piece and on edges where LSU ownership stamp appears.

3) Removes book pocket, if applicable.

c. Makes count for statistics.

d. Forwards piece(s) to G&E if suitable for further use or discards.

2. Pieces which are missing are traced for one year after which:

a. Permanent trace is forwarded to Serials Record Librarian.

b. Division clears pink IBM charge card from missing when appropriate.

3. When a piece is to be replaced, it is marked "Lost" in the Serials Record rather than being stamped "withdrawn".

C. Serials cataloged as monographs:

1. Division forwards trace or piece to Catalog Department for withdrawal.

2. A y-slip is forwarded to Serials if a replacement is desired.

D. Unbound issues are forwarded directly to Gifts and Exchanges Department with appropriate notes, e.g.:

a. Duplicate of bound volume (see page 76).

b. Superseded.

c. Retain current year only.

BINDING PROCEDURES

I. A binding notification is the means by which all persons concerned with serials are made aware that unbound issues of a title are ready for binding:

A. Responsibility:

The ultimate responsibility for the accuracy and the recording of the binding notification rests with the Serials Department.

B. Initiation:

1. Serials Department personnel and designated student helpers initiate a binding notice when the Serials Record indicates that all parts of a binding unit for a particular title have been received by the Library. A completed binding notification for each title is written, recorded in the Serials Record, and sent to the Division for compliance.

2. Division personnel responsible for serials also initiate binding notifications for titles which they find to be complete. In addition, there are some titles which, by their irregular nature, have no particular binding pattern established. In each instance, Division personnel initiate a binding notification and forward it to the Serials Department for approval and recording on the Serials Record.

If the Serials Record Assistant returns a binding notification unsigned, a note is attached to indicate further action required:

a. Division personnel may need to search for TPIC's, sups, etc.

b. Communication between the Serials Record Assistant and the Division personnel may be by either phone or written note.

c. When the additional action that is required has been completed, the binding notification is forwarded to Serials for recording. It is then returned to the Division for compliance.

C. Writing a binding notification:

1. The present Library form used as a binding notification is the sample immediately following:

BINDING NOTIFICATION

Call No. Title_____

_____

_____

Destination _____

_____ _____

Series Vols. Nos. Date

_____ _____ _____ _____

_____ _____ _____ _____

_____ _____ _____ _____

_____ _____ _____ _____

_____ _____ _____ _____

_____ _____ _____ _____

TPC and/or Index(Auth.,Subj.)_____ None Bound_____

Supl._____ Book Pocket_____

Notes:

PREPARED_____ COMPLIED WITH_____ CHECKED IN____

DATE_____ DATE_____ DATE_____

Sample Binding Notification

2. Completeness of items on binding notification:

   a. Call number:

      1) Using the adopted lettering pattern (see Appendix 9), copy the call number as cataloged.

      2) Add copy number to call number only if it appears as part of the call number in the Serials Record.

      3) Include "sup", "ser", "sect" only when it has been incorporated as part of the established call number.

      4) Always use prefixes; e.g. "Chem" or "Ref", in call number.

   b. Title:

      1) Write legibly the cataloged entry and/or title.

      2) Division personnel when initiating a binding notice, would consult the linadex if there is a question about the proper entry.

      3) For "non bound" titles, carefully observe capitalization, punctuation, and diacritical marks.

      4) If a corporate entry and title are used, separate the entry from the title by a slash (/).

      5) If the copy number appears in the file line rather than as part of the call number, show the copy number in parentheses after the title.

   c. Destination:

      1) Show area where housed, e.g. "La. Room."

      2) Use a circled "d" by destination if current issues are on display.

      3) For volumes housed in Hill, use name of Division in parentheses followed by "Hill," e.g. (Sci.) Hill.

d. Series:

1) Use letter(s) or number of series only if used in bibliographic information when cataloged.

2) Indicate "Index" in this space if there is a cumulative index being bound.

3) For an occasional additional copy of an issue, use the series space to indicate copy number.

e. Volumes:

1) Show volume number, if applicable, of the unit being bound.

2) If the title is a conference, report, meeting, etc., use this space to designate the number.

f. Numbers:

1) If both volume and numbers are given, show the numbers being bound, e.g. 1/2 - 12. Only inclusive numbers are used.

2) If issues have "whole numbers" enter them in this column.

3) If only a volume number is given, use this space for month or other designation of issues being bound, i.e. Ja/Fe - D.

g. Date:

1) Use inclusive dates.

a) For a partial volume, show portion of year, and year, e.g. Ja-Mr 1975.

b) For complete volumes, show year only.

2) Fiscal years are identified with a slash, e.g. 1973/74.

a) Fiscal biennium is indicated as 1972/74.

b) Calendar biennium is indicated as 1973-74.

3) Indicate date for more than one volume or number thus: 1961-1967.

4) If a volume covers more than one calendar year:

a) Separate dates with a slash if other volumes are in progress during the year, e.g. 1969/70.

b) Separate dates with a dash if no other volumes are in progress during the calendar years, e.g. 1969-73.

5) For translated journals, use date of translations unless the original date is used when cataloged.

h. Title page and contents:

1) Circle all or applicable parts.

2) Specify "loose" or "bound in" as received from publisher.

3) If the Serials Record is not clear, a "?" will appear in the space for either Serials or Division to clarify.

4) If the Serials Record indicates there is no index, "none" is written in the blank.

5) If TPIC information is not applicable for the pieces being bound, "NA" is written in the blank.

j) Supplements:

1) Use this space to record loose materials - maps, resumes, photographs, etc., as well as regular supplements.

2) Specify the number of each kind of material as well as the issues to which they belong, i.e. 12 maps to v.3,#4.

3) If supplements are numbered, indicate those being bound.

4) Advertisements issued as supplements are not bound with the volume, and if mistakenly checked in on the Serials Record should be removed.

k. None bound:

Titles with no bound volumes in that call number are so indicated by a check (✔) in this blank.

l. Book pocket:

Indicate by check mark (✔) if applicable.

m. Notes:

1) "Stub for", e.g. "Stub for v.9, no. 4 sup which is a cumulative index for v.1-8 bound separately."

2) Title varies notes:

a) "With no. ___ title changed to _____."

b) Formerly _____(title)_____.

c) "Title varies slightly."

3) Entry changes notes.

4) Ceased or non current information.

5) "Subscription cancelled."

6) "Bind individually."

7) "Permabind."

8) "Divided into sections."

9) "Via cat for anals check" if so indicated on Serials Record.

10) "Rebind."

11) "No. ___ in 2 parts."

n) Prepared:

This space is used for initials of the person writing a binding notification whether Serials or Division personnel. If prepared by Division personnel, this space must also be initialed by authorized Serials personnel before forwarding

the unit to Preparations. The date the unit is charged to binding is written on both the notification and the Serials Record.

o) Complied with:

The person responsible for gathering materials for binding in the Divisions must initial and date this space when the binding notification has been complied with.

p) Checked In:

Used by Preparations.

q) Rebinds:

For rebinds, write "Rebind" in large letters across the face of the binding notification and in the "notes" area.

r) For "Last vol. Ref." materials, write "Last v. ref." above title with an arrow drawn over call no. (see sample in Appendix XI).

II. Complying with binding notification in Division:

A. Gathering in the Divisions:

1. The approved binding notification is received from the Serials Department, and may come either separately or with an issue of the unit, or, the TPIC.

2. All pieces called for on the binding notification are gathered.

B. Checking unit for completeness:

Although the gathering may be done by students, the determination of completeness is the responsibility of full time Division personnel:

1. Be sure the notification has been initialed only by authorized Serials Department personnel.

2. Do not add to or subtract from information specified on the binding notification without first notifying the Serials Record Assistant.
3. If the index blank on the binding notification is questioned or information shown is erroneous, correct from issues in hand and notify Serials.
4. Any loose TPIC is placed on top of the binding unit under the binding notification.
5. If the index or title page and/or contents is bound in an issue of a later volume, forward the issue with the binding unit to Preparations. The TPIC is extracted and the issue placed on the shelf in Preparations with "returns" for each Division.
6. If a cumulative index is not located which is indicated on the binding notification, the Serials Record Librarian must be notified.
7. If the TPIC has been lost or not yet received from the publisher, and is known to be less than five pages thick, and it has been definitely determined that the binding unit is complete; the unit may be bound without the TPIC. A note "to be tipped in later" is written in the index space by Division personnel.
8. Supplements noted on the binding notification are placed in sequence after the last issue of the binding unit. The TPIC is checked to verify that all supplements have been received. Serials should be notified of any discrepancy. Preparations will determine proper placement.
9. Duplicates are not sent to Preparations.

10. Volume and issue numbers and dates on pieces must correspond with those on the binding notification. Make any necessary corrections in pencil.
11. If the bound volume should have book pocket, be sure the proper blank is checked.
12. Thickness of one unit should not exceed 2 1/2 inches. If Divisions wish to bind a unit of one inch or less, this should be indicated in the "notes" section of the notification. Otherwise, it will be placed on the "return shelf" with a note "Too thin--hold for another volume."
13. Issues are placed in correct chronological sequence with the earliest one on top.
14. Each binding unit is tied with twine and the binding notification is clipped to the first piece. If there are too many pieces for one bundle, tie in as many bundles as needed, but put p-slips on each stating where the binding notification will be found.
15. If the notification has a note "via cat for anals" the complete unit should be sent directly to the Serials Cataloger.
16. If a blue routing slip (see Appendix 6) accompanies the notification, route the complete binding unit to the Serials Cataloger for necessary revision.

C. Delivering materials to Preparations:

1. Rush binding:

Material is received every other week by Preparations on the Thursday before the shipment goes out. If the material is received in Preparations later than Thursday, there is always a possibility that it will not be sent in the next shipment.

Rush binding is identified with a pink flag which is attached to the binding unit and "Rush" is written on the upper right hand corner of the binding notification. The binding units are placed on the special "Rush Binding" shelves in the Preparations Department.

2. Regular binding:

This material is delivered to Preparations at whatever intervals it is gathered. The pieces with LC numbers are put on the free-standing shelves according to the first letter of the call number. Dewey numbers are placed on the shelves along the wall according to decade number labels.

3. Xerox materials:

See page 69.

D. Handling incomplete materials:

1. When a binding unit of a title has missing issue(s):

a. Trace for missing issues weekly over a period of at least 30 days. If pieces are found, follow steps for a complete unit.

b. If all pieces are not found by the end of the prescribed search period, a y-slip is completed for missing issues and forwarded to the Serials Replacement Assistant. See page 22 for completed y-slip sample. The binding notification is returned to Serials department with the completed y-slip so that the pieces can be discharged from binding.

c. Remaining pieces should be temporarily togic bound. See page 68.

d. When the replacement is secured by Serials, the piece is flagged "repl" and sent to the Division. If it completes

the binding unit, a binding notification accompanies it. The unit is again gathered, checked for completeness, recorded on Division records, and sent to Preparations for binding.

III. Hill material binding procedures:

A. Serials may receive issues which need to be bound for Hill. They are sent with a binding notification to the Division in which the material classifies:

1. If additional issues are needed from Hill, Division personnel notify Hill staff to send them to the Division.
2. Hill staff makes a record charging the issue(s) to "Binding" not to the Division. The record is kept until the volume is returned from Preparations.
3. The issues are forwarded from Hill to the Division staff member requesting them.
4. Division personnel prepares the unit for binding but do not make a record for their files.

B. When serials in Hill have been mutilated or need to be rebound, Hill staff bring them to the attention of appropriate Division staff:

1. If pages need to be replaced, a memo stating the call number, title, volume and issue number, date, and pages needed is sent to the Division:
   a. Replacements are ordered by the Division and when received, are forwarded to the Division rather than to Hill.
   b. Hill staff is notified that a replacement has been received and that the mutilated volume should be charged to "Binding" and sent to the Division.

c. Division staff deliver the volume to the Preparations Department for the pages to be tipped in or, if necessary, write a "Rebind" notification for approval by Serials.

2. When Hill staff discover a volume in need of rebinding or repair, the volume is charged to "Binding" and forwarded to the appropriate Division with an explanatory note:

a. Division staff write a "Rebind" notification and forwards it to Serials Department for approval.

b. When the "Rebind" notification is received back from Serials Department, Division personnel deliver the unit to the Preparations Department. No record is kept by the Division.

C. All materials processed by Preparations for Hill are returned directly to Hill.

IV. Binding contract:

The specifications for the binding contract are prepared by the Preparations Department in March or April for the entire LSU System and forwarded to the University Purchasing Department. Bids are solicited from several large binderies. On a pre-established date, all bids submitted are opened in front of Library and University officials. Any bindery representatives who wish to be present are welcomed.

The Purchasing Department awards the contract to the lowest bidder for a period of one year with the option to renew for one additional year. The option must be agreeable to both the Library and the binder and be approved by University officials.

V. Materials brought to Preparations Department:

A. Rush:

1. Material for rush binding is processed once every two weeks by Preparations. It is returned to the Divisions the same day it is returned from the bindery.

2. Material already bound is processed and delivered to the Division the same day it is received by Preparations from Serials.

B. Regular binding:

Priority flags may be used by Divisions if they wish certain units to be processed first. Flags may be obtained from Preparations. When flags are used, Preparations Department will process accordingly:

1st priority . . . . . Green flag

2nd priority . . . . . Yellow flag

3rd priority . . . . . No flag

C. Rebinds (serials only):

These are treated the same as regular binding when delivered to Preparations Department except for those units which have xerox pages. Any binding unit with xerox pages is put in the "tip-in bin". Serial rebinds with book pockets are <u>not</u> charged through the Circulation Department.

D. Permabinding:

This is a commercial type binding used for paperbacks (single issues). It is not recommended for slick surface paper or for pieces that have folded pages or important information on verso of covers. Divisions may request permabinding on any binding notification of single pieces; however, if necessary, Preparations Department will change to regular binding. If the binder has been

requested to permabind a piece and accidentally ruins the cover, the piece is automatically permabound with decorative covers. In these instances, the title page is lost.

E. Scholarly binding:

This commercial type binding uses an inexpensive cloth binding with a glued spine. It is seldom requested for serial binding.

F. Togic binding:

This is a temporary binding done in the Preparations Department and is used to hold incomplete volumes together on the shelves until the unit is complete for binding. Divisions assume the responsibility for collation, removing duplicates, checking for folded pages, and gathering units no larger than 2 or 2 1/2 inches thick. Each unit is held together with string or rubber bands, labelled with the name of the area to which it should be returned, and placed on the appropriate shelf in Preparations. It is the Divisions' responsibility to deliver the material to Preparations, but it is returned by Preparations as soon as it is processed.

G. Pamphlet binding:

All serials for pamphlet binding, which is an in-house process, must be routed via Serials Department to Preparations Department. Binding notifications are <u>not</u> sent with "pam" binding. Materials over 1/2 inch thick or pieces with slick paper are not acceptable for this type of binding. In most instances, it is best not to combine multiple issues in one binder.

H. Spiral binding:

This is an in-house process and requests should go via Serials Department to Preparations Department. All spiral bound material

received in the Library that will fit the machine is reinforced with stiff covers for shelving purposes. This type binding is also used as a means of housing non-bindable materials e.g. maps, in pockets. For this process, a manila envelope is spiral bound between stiff covers so the material can be shelved.

I. Tip ins:

Included in this category are replacement pages, xerox or original; binding units with xerox pages; and TPIC's to be inserted into bound volumes. When pages are to be removed from an issue, send the entire issue to Preparations where the pages can be more easily removed than by Division staff. To prepare items for tip-ins:

a. Determine that the correct pages to be tipped in are included.

b. Attach a note indicating issue number, pages, and Division's name to each unit.

c. Deliver to the "Tip-in" bin in Preparations Department.

VI. Computer binding program:

The program began in July 1973 when the basic binding information for currently bound titles was given to Hertzberg New Method to store on a computer disc. Information for approximately 13,000 titles for LSU were stored in the beginning. This information is used in conjunction with Hertzberg's stored master file of 110,000 titles. On the LSU disc is stored specific information such as buckram color, call number, supplemental information, etc.; while the master file contains basic title lettering under code number which indicates height and size of lettering, etc.

When a volume is received in the plant, information from both discs is utilized to generate a computerized binding ticket. This ticket follows the piece through the work-line and back to the Library. From the two discs, computer print-outs are also generated, one in code number order and the other in call number order. These are updated approximately every four months.

The preparing of binding by using the computer print-outs began in the Preparations Department in January 1974.

VII. Processing of serials in Preparations:

A. Material is taken from the table and shelves according to priority.

B. Authority cards, known as "Form 90's" (see sample below), are pulled for each title. This card is established the first time a title is bound.

German life and letters.

Call No. 830.5/G31	Vol.No.	Sent	Ship.No.
Color 57	28(1975)	—	799

Lettering
German Life and Letters

New Series 2nd panel

28
1975

Sample of completed Form 90

Information on Form 90:

1. Complete entry/title.

2. Complete call number.

3. Buckram color.
4. Complete spine lettering.
5. Title changes.
6. Record of unit sent to binding including the shipment number.
7. Any unit returned unbound is recorded.

C. Preparations Department processes items in call number order following the computer print-out. Checking issues and information called for on the binding notification is the only collation done by Preparations Department before forwarding the pieces to the bindery.

D. Using the pieces, Form 90, binding notification, and computer print-out, a binding ticket designed by Preparations Department for use with the computer binding program is prepared. Information is recorded on the Form 90 which is refiled until that title is sent out again.

E. Divisions should consult with Preparations regarding the status of any volume. They may retrieve any material from the shelves but any material in the Preparations Department work room should be considered "at binding" and not available.

F. "Return shelves":

These shelves, labelled by name of Division, are located in the work room of the Preparations Department. They should be cleared by Division personnel at least once a week. The following types of materials are placed on the shelves:

1. Any material with such problems that the binding unit cannot be processed completely.
2. Duplicate issues sent by mistake.

3. Pieces sent that were not called for on the binding notification.
4. Serials to be rebound that were mistakenly sent as monographs without a binding notification.
5. Materials returned from Hertzberg that could not be bound for some reason.
6. Any new issues sent directly to Preparations Department from Serials Department for repairs, tip-ins, etc.
7. Any binding unit needing anals check or revision that were sent directly from the Divisions to Preparations Department by mistake.
8. Single items that a Division staff member hand-carried for special attention.

G. New titles are accumulated and processed during August, November, February, and May. Should a particular new title be needed immediately by a Division, a priority flag should be put in the unit. It will be processed in the next shipment.

H. Rebinds without xeroxed pages are processed as regular binding.

I. Materials are packaged by Preparations Department and Hertzberg makes pick-ups/deliveries once every two weeks. Regular binding is "in process" at the plant for four weeks and "Rush" for two weeks. (Should the shipment of "Rush" be too large, the binder will sometimes keep it for four weeks.)

VIII. Receipt of returned shipments:

A. When shipments are returned from the bindery, "Rush" cartons are opened immediately, processed, and returned to the Divisions the same day.

B. Cartons from regular shipments are opened, volumes placed on the shelves in the Preparations Department, and counted.

C. Volumes from each Division are checked in separately with the sequence of Divisions being rotated as shipments are received.

D. Records kept in the Department are pulled and compared with the computer ticket in the volume. The volume is quickly collated by issues, and the spine lettering checked completely.

E. After volumes are stamped with the shipment number and Library property stamp, they are loaded onto a truck borrowed from the appropriate Division and returned to the Division.

F. Volumes that require book pockets or corrections are put aside until all other volumes in the shipment have been processed:

1. All volumes needing book pockets are processed at the same time:

   a. Book pockets are typed from the binding notification if a pocket label has not been supplied by the binder.

   b. Master book cards are keypunched.

   c. Pockets are pasted in the volumes.

   d. Volumes are delivered directly to the Divisions from Preparations.

2. Volumes needing corrections:

   a. Corrections are made in the department if possible (tip-ins, small spine errors, etc.)

   b. Volumes which must be returned to the bindery for corrections are accumulated for one month and returned in a separate shipment except for "Rush" items which are returned in the next "Rush" shipment. Returned "correction" shipments are processed "Rush" in the Preparations Department.

G. Volumes outstanding at the bindery:

1. Two weeks are allowed before a trace is begun.
2. A telephone call is made if the volumes are not returned within this period.
3. If the item is lost, the Division is given a budget code number for ordering a replacement.
4. Library personnel do the work of replacing as with any other replacement. Formats other than hard copy may be considered.
5. No provision has been established between the Library and the bindery for compensation for items unobtainable.

XX. Distribution to Divisions:

A. Each time a truck of serials is completed for a Division, a truck is requested from that Division, loaded with bound serials and returned immediately and directly to the Division. Should the Division find a binding ticket in a bound volume, the ticket should be returned to Preparations Department.

B. Volumes returned from the bindery in an unbound state:

1. Volume is recorded on the Form 90 as "returned unbound."
2. If there are two or more volumes on a binding notification and only one volume is returned unbound, the binding notification is processed with the bound volume. A note is written on the binding notification explaining to Serials Department that the other volume(s) were returned unbound. An explanatory note to the Division is attached to the unbound pieces which are placed on the "Return Shelf" in Preparations.
3. If only one volume was on the binding notification, a note is attached to the pieces and the binding notification, and the unit is placed on the "Return Shelf".

4. If a volume is damaged at the bindery, Preparations Department will supply a budget code number to charge the replacement against. The code number is not to be used otherwise.
5. When a binding notification concerning an unbound volume is received from Preparations Department, Serials Department discharges the volume from binding.

X. Return of binding notifications for bound volumes to Serials Department:

A. Statistics:

1. A corrected computer binding ticket is attached to the binding notification to aid Serials Department in posting on the Serials Record.
2. Binding notifications with attached tickets and a count of physical volumes are forwarded to the Serials Department.
3. The count of volumes (excluding rebinds) is added to the statistics of bound volumes added to the Library.

B. Posting:

1. Any corrections made on the binding notification by Preparations Department are always made in red to aid Serials Department in correcting the Record at the time of posting. (Divisions should never use red ink or red pencil on binding notifications.) These corrections are made on the Serials Record.
2. The charge to binding (except on flimsies) is erased.
3. The pencilled "x" is erased and a blue check mark (✓) is used to indicate a bound volume.
4. If more than one unit or a partial unit is bound in a physical volume, the bound unit is bracketed.

XI. Disposal of duplicates:

A. Divisions:

1. Duplicate issues are retained until the bound volume is returned from the bindery.
   a. Duplicates of bound Louisiana materials are sent to the Serials Librarian with a note of explanation.
      1) Those needed to complete the holdings of another area are checked in and forwarded to that area.
      2) Louisiana materials not needed in any area are sent by the Serials Record Librarian to Gifts and Exchanges Department for disposal.
   b. Complete issues which are duplicates of bound volumes other than Louisiana materials are tied together, marked "NW - bd. dups", and sent to G&E for disposal.
   c. Mutilated or incomplete issues which are duplicates of bound volumes are discarded by the Division.
2. In the case of titles for which several duplicates are received, the number of copies retained until the unit is bound is at the discretion of the Division. Those not retained are sent with an explanatory note to Gifts and Exchanges Department for disposal.
3. When microform has been substituted for binding, paper copies are disposed of after the microform has been received:
   a. Divisions are notified by means of a revised linadex strip that the microform has been cataloged.
   b. Serials Department notifies the Newspaper/Microform Room when the title is one for which the Division staff should be notified of receipt. As each reel or fiche for the title is received, notification to the Division is made by means of a memo stating title, volume number(s) and inclusive dates.

c. When microform has been received, Divisions send the hard copy with a note "NW - Have microform" to the Gifts and Exchanges Department.

B. Serials:

1. Duplicate issues of a volume which is not bound are checked in on the Serials Record until the bound volume is posted. No indication is made that duplicates have been received nor are duplicates labelled as such.

2. Duplicates of bound volumes.

a. For heavily used titles which Divisions have indicated that they would like to receive duplicates, a note to this effect is made in the Serials Record. These duplicates are checked in and sent to the Division.

b. If there is no note indicating that duplicates of bound volumes should be checked in, the issues are sent to G&E for disposal.

XII. Division/Department Records:

Each area maintains an unofficial record designed to meet its needs. These range in size and complexity from a temporary file of p-slips indicating units sent to Preparations for binding to a permanent card file which duplicates much of the information in the Serials Record. The primary use of each record in the binding process is to indicate the location of a particular unit of a title.